

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

20148771070

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/937739INTERNATIONAL APPLICATION NO.
PCT/JP00/02023INTERNATIONAL FILING DATE
30 March 2000PRIORITY DATE CLAIMED
31 March 1999

TITLE OF INVENTION

AUTOIMMUNE DISEASE MODEL ANIMAL

APPLICANT(S) FOR DO/EO/US

AMAGAI, Masayuki; NISHIKAWA, Takeji; SUZUKI, Harumi; and KOYASU, Shigeo

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

UNSIGNED Combined Declaration and Power of Attorney.
Diskette containing sequence listing.
Verified statement re sequence listing.

U.S. APPLICATION NO. (IF KNOWN) SEE

09/937739

INTERNATIONAL APPLICATION NO.

PCT/JP00/02023

ATTORNEY'S DOCKET NUMBER

201487/1070

21. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1,000.00
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

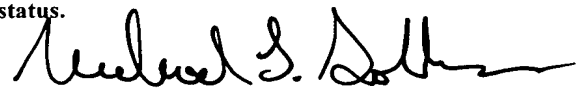
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	24 - 20 =	4	x \$18.00	\$72.00	
Independent claims	3 - 3 =	0	x \$80.00	\$0.00	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$1,062.00	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/>				\$0.00	
SUBTOTAL =				\$1,062.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$0.00	
TOTAL NATIONAL FEE =				\$1,062.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				\$0.00	
TOTAL FEES ENCLOSED =				\$1,062.00	
				Amount to be: refunded	\$
				charged	\$

- ☒ A check in the amount of \$1,062.00 to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **14-1138** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Michael L. Goldman
Nixon Peabody LLP
Clinton Square, P.O. Box 31051
Rochester, New York 14603
United States of America



SIGNATURE

Michael L. Goldman

NAME

30,727

REGISTRATION NUMBER

September 28, 2001

DATE

EXPRESS MAIL CERTIFICATE

DOCKET NO.: 201487/1070 (KUV-101PCT-US)

APPLICANT(S): Amagai et al.

TITLE: AUTOIMMUNE DISEASE MODEL ANIMAL

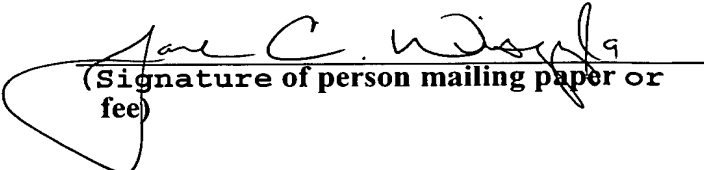
Certificate is attached to the English translation of published PCT application including specification, claims, abstract, sequence listing and drawings of the above-named application.

"EXPRESS MAIL" NUMBER: EL801321595US

DATE OF DEPOSIT: September 28, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Box PCT, Washington, D.C. 20231.

Jane C. Wirszyla
(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper or
fee)

EXPRESS MAIL CERTIFICATE

DOCKET NO.: 201487/1070 (KUV-101PCT-US)

APPLICANT(S): Amagai et al.

TITLE: AUTOIMMUNE DISEASE MODEL ANIMAL

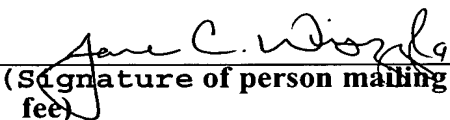
Certificate is attached to the Transmittal Letter to the U.S. Designated/Elected Office (DO/EO/US) of the above-named application.

"EXPRESS MAIL" NUMBER: EL801321595US

DATE OF DEPOSIT: September 28, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Box PCT, Washington, D.C. 20231.

Jane C. Wirszyla
(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper or
fee)

EXPRESS MAIL CERTIFICATE

DOCKET NO.: 201487/1070 (KUV-101PCT-US)

APPLICANT(S): Amagai et al.

TITLE: AUTOIMMUNE DISEASE MODEL ANIMAL

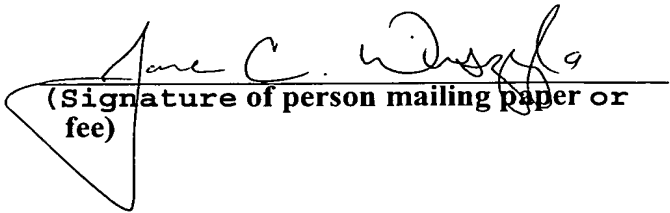
Certificate is attached to the Verified Statement re
sequence listing w/diskette of the above-named application.

"EXPRESS MAIL" NUMBER: EL801321595US

DATE OF DEPOSIT: September 28, 2001

I hereby certify that this paper or fee is being
deposited with the United States Postal Service "Express Mail Post
Office to Addressee" service under 37 CFR 1.10 on the date
indicated above and is addressed to the Commissioner of Patents and
Trademarks, Box PCT, Washington, D.C. 20231.

Jane C. Wirszyła
(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper or
fee)

09/937739

EXPRESS MAIL CERTIFICATE

DOCKET NO.: 201487/1070 (KUV-101PCT-US)

APPLICANT(S): Amagai et al.

TITLE: AUTOIMMUNE DISEASE MODEL ANIMAL

Certificate is attached to the Preliminary Amendment
(4 pages) and Appendix (2 pages) of the above-named application.

"EXPRESS MAIL" NUMBER: EL801321595US

DATE OF DEPOSIT: September 28, 2001

I hereby certify that this paper or fee is being
deposited with the United States Postal Service "Express Mail Post
Office to Addressee" service under 37 CFR 1.10 on the date
indicated above and is addressed to the Commissioner of Patents and
Trademarks, Box PCT, Washington, D.C. 20231.

Jane C. Wirszyła

(Typed or printed name of person
mailing paper or fee)

Jane C. Wirszyła
(Signature of person mailing paper or
fee)

Docket No: 201487/1070 (KUV-101PCT-US)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Amagai et al.)

U. S. Serial No: To be assigned)

Filed: Herewith)

PCT International)

Application No: PCT/JP00/02023)

Filed: 30 March 2000)

Claiming Priority from)

Japanese Application No: 11/91408)

Priority Date: 31 March 1999)

For : AUTOIMMUNE DISEASE MODEL ANIMAL)

STATEMENT IN ACCORDANCE WITH 37 C.F.R. § 1.821(f)

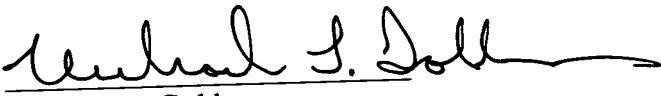
Commissioner of Patents
and Trademarks
Washington, D.C. 20231
Box: PCT

Sir:

In accordance with 37 C.F.R. § 1.821(f), this statement confirms that the contents of the Sequence Listing (1 page) attached to the above-identified application as submitted herewith, and on the computer readable 3.5" Diskette submitted herewith are the same.

Respectfully submitted,

Date: September 28, 2001


Michael L. Goldman
Registration No. 30,727

Nixon Peabody LLP
Clinton Square, P.O. Box 31051
Rochester, New York 14603
Telephone: (716) 263-1304
Facsimile: (716) 263-1600

EXPRESS MAIL CERTIFICATE

DOCKET NO.: 201487/1070 (KUV-101PCT-US)

APPLICANT(S): Amagai et al.

TITLE: AUTOIMMUNE DISEASE MODEL ANIMAL

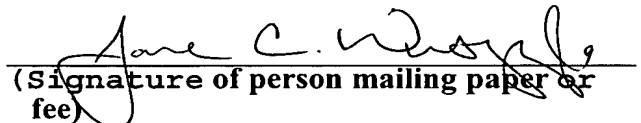
Certificate is attached to the **Unsigned** Combined Declaration and Power of Attorney (3 pages) of the above-named application.

"EXPRESS MAIL" NUMBER: EL801321595US

DATE OF DEPOSIT: September 28, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Box PCT, Washington, D.C. 20231.

Jane C. Wirszyla
(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper or
fee)